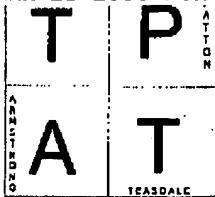


MAR-28-2005 MON 10:12 PM Tighe Patton Armstrong

FAX NO. 2024542805

P. 01



TIGHE PATTON ARMSTRONG TEASDALE PLLC
1747 Pennsylvania Avenue NW Suite 300
Washington, DC 20006
P: 202-454-2800
F: 202-454-2805
www.tighepatton.com



FACSIMILE COVER SHEET

Addressee: OIPE (INDIVIDUAL) FAX NO. 703-746-4060

-USPTO (COMPANY) Direct Dial _____

From: David Bogart Dort Date March 28, 2005

Cover Sheet & ~~2~~ pages Billing No. 3518-2-1-B

SERIAL NO. 10/995,059 *

Return to Nancy E. Davies NAME /Fax: 202-318-7729 (Washington, DC) OFFICE LOCATION
Fax

RE: 10/995,059 10/7/128

In the matter of the above-referenced Application please find attached:

- (1) Transmittal and Statement of USPTO error with Certificate of transmission 37 CFR 1.8;
- (2) Notice of Incomplete Reply to Missing Parts
- (3) Exhibit Page from Substitute Specification
- (4) No fee is believed to be due, however, the Commissioner is authorized to charge Deposit Account 50-3068 (Docket 3518-2-1-B) for any underpayments to complete this procedure.

Certificate of Transmission 37 CFR § 1.8

I hereby certify that this transmission along with all referenced documents is being transmitted to the USPTO, via the central fax number of the United States Patent and Trademark Office at Fax No. 703-746-4060 on this 28th day of March, 2005.

David Bogart Dort

3/28/05

BEST AVAILABLE COPY

Attorney Docket No. 3518-2-1-B

I hereby certify that this correspondence is being transmitted to OIPE at Fax No. 703-746-4060 Mail Stop: Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 28th Day of March, 2005:

Date: _____

By: _____

David Bogart Dort

PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**IN RE APPLICATION OF: **TIMOTHY ANDERSON**APPLICATION No.: **10/711,404 128**FILED: **26 AUGUST 2004**

For: COMPUTER-IMPLEMENTED
ADAPTIVE MODULAR RISK MANAGEMENT
TRADING SYSTEM FOR PROFESSIONAL
EQUITY TRADERS

EXAMINER: **UNASSIGNED**ART UNIT: **UNASSIGNED**

CONF. NO:

ATTY DOCKET: **3518-2-1-B**

**Supplemental Response to Notice to File Missing
Parts of Application**

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. In response to the Incomplete Reply to Notice to File Missing Parts mailed 14 March 2005 (copy enclosed), applicant submits the following:
 - Copy of Notice of Incomplete Reply to Missing Parts
 - Transmittal with Certificate of Transmission 37 CFR 1.8 and Statement of USPTO Error;
 - Pages from Replacement Specification
 - Authorization for the Commissioner to charge any underpayment to deposit account No. 50-3068.
2. Statement of USPTO Error

In Response to the Notice of Incomplete Reply of Missing Parts mailed 14 March 2005, the Commissioner is directed to the Response to Notice of Missing Parts filed on 28 February 2005, in which a substitute specification was filed. The

Attorney Docket No. 3518-2-1-B

Commissioner should take notice that FIGS. 11-13 were deleted from the Specification and were re-labelled as Appendix A without regard to Figure numbers. It is believed that deleting FIGS. 11-13 from the specification and added as an appendix helped to clarify the invention without adding new matter. The relevant substitute specification page is attached for reference.

Thus, it is submitted that the Applicant's reply of 28 February 2005 was fully responsive to the Notice of Missing Parts sent 28 September 2004, and no further extension fees or drawings are needed.

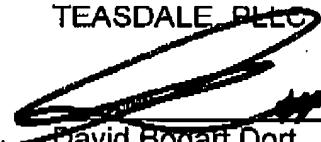
3. Authorization for Extensions of Time Under 37 C.F.R. § 1.136 (a)(3)

No fee is believed to be due, however, applicant petitions for an Extension of Time if necessary for timely filing of this Response. The Commissioner is authorized to treat this or any future reply requiring a Petition for Extension of Time under 37 C.F.R. § 1.136 (a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time. Please charge all required extension of time fees in this application to Deposit Account No. 50-3068.

- Applicant claims small entity status. See 37 C.F.R. § 1.27
- Please charge any deficiency or credit to Deposit Account No. 50-3068 (Docket No. 3518-2-1-B).

Respectfully submitted,
TIGHE PATTON ARMSTRONG
TEASDALE, PLLC

Date: 03/28/05



David Bogart Dort
Registration No. 50,213

Correspondence Address:

Customer No. 42389

BEST AVAILABLE COPY

Page 1 of 2

**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
www.uspto.gov

| APPLICATION NUMBER | FILING OR 371 (c) DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|------------------------|-----------------------|------------------------|
| 10/711,128 | 08/26/2004 | Timothy Anderson | ASDC.P001.B |

42780
 SUMMERS RUBINSTEIN, PROFESSIONAL CORP
 PATENTS
 580 CALIFORNIA 16TH FLOOR
 SAN FRANCISCO, CA 94014

**CONFIRMATION NO. 5127****FORMALITIES LETTER**

OC000000015453202

Date Mailed: 03/14/2005

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)***Filing Date Granted***

The U.S. Patent and Trademark Office has received your reply on 03/03/2005 to the Notice to File Missing Parts (Notice) mailed 09/28/2004 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application. Replies should be mailed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
 - More than one figure is present and each figure is not labeled "Fig." with a consecutive Arabic numeral (1, 2, etc.) or an Arabic numeral and capital letter in the English alphabet (A, B, etc.)(see 37 CFR 1.84(u)(1)). See Figure(s) 12.

Replies should be mailed to: Mail Stop Missing Parts
 Commissioner for Patents
 P.O. Box 1450
 Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

MAR-28-2005 MON 10:13 PM Tighe Patton Armstrong

FAX NO. 2024542805

P. 05

Page 2 of 2

ATtyone
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

BEST AVAILABLE COPY